


# State of Alaska

## Department of Labor and Workforce Development

<b>Division:</b> Business Partnerships	<b>Policy:</b> 1004 Final
<b>Subject:</b> Grant Amendments	<b>Pages:</b> 3
<b>Reference:</b> Title 29 CFR PART 97.30; State Procurement Code AS 36.30.430-460; AS 37.05.315-3.25	<b>Effective:</b> 1/1/2014
	<b>Revised:</b>
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;"> <b>Approved:</b>   Wanetta Ayers, Director </div> <div style="text-align: center;"> 12/26/13  Date </div> </div>	

**1. Policy**

It is the policy of the Division of Business Partnerships (DBP) to make decisions about grant amendments in a timely manner and to ensure such amendments are in alignment with the priorities of the Alaska Workforce Investment Board (AWIB), the Department (DLWD), and the objectives and outcomes of original grant awards.

**2. Parties Affected**

This policy applies to grant recipients that receive public funds through the Division of Business Partnerships (DBP).

**3. Purpose**

This policy is intended to clarify the authority of division staff to approve grant amendments, establish conditions for appropriate grant amendments, direct recipients of grant funds on the process for requesting grant amendments, and ensure a timely and accurate response to requests for grant amendments.

**4. Definitions**

*Grants* are awards of funding the division issues through competitive or designated processes to facilitate the mission of the division and department.

*Grant Amendments* are changes to a grant that facilitate the successful accomplishment of grant objectives. Grant amendments may include the adjustments to the scope of work, terms and conditions, and budget.

## 5. Responsibilities

- a. ***Requesting Grant Amendments:*** Recipients of grant funds have an obligation to make a timely request for an amendment to a grant agreement. Recipients must request a grant amendment if they expect to change the scope of work, have difficulty fulfilling the terms and conditions of the agreement or need to adjust any budget line item by more than 10 percent. Adjustments to budget line items of less than 10 percent do not require Division approval, but the grant recipient must notify the Division of the adjustment.
- b. ***Timely Requests for Grant Amendments:*** Timely grant amendment requests are those requests made at least three working days in advance of an intended change. If a grant recipient encounters an unforeseen situation that requires an immediate or retroactive adjustment to the scope of work, terms and conditions, or budget, then the Program Coordinator II or their designee is authorized to make reasonable exceptions under these conditions.
- c. ***Frequency of Grant Amendments:*** Recipients of funding from the Division may request no more than one grant amendment per quarter. Each grant amendment may include any or all of the elements of the grant including the scope of work, terms and conditions, budget, objectives, and outcomes. The Division will not accept grant amendment requests within 45 days of the grant end date without prior approval from the Program Coordinator II or their designee. If a grant recipient requires more than one amendment within a quarter, the Program Coordinator II will determine if the situation warrants an exception to the policy.
- d. ***Approving Grant Amendments:*** Grant Administrator IIs of the DBP are authorized to approve line item amendments up to 20 percent of a budget category as long as the scope of work and outcomes remain the same. The Program Coordinator I is authorized to approve amendments in the scope of work and outcomes as long as the amendment does not reduce the outcomes by more than 20 percent of the negotiated target. Amendments that exceed 20 percent of a budget category or the negotiated targets require approval by the Program Coordinator II who will advise the Director and management team of the amendment. Amendments in excess of 35 percent of a budget line item require the approval of the Director or their designee.
- e. ***Timely Decisions on Grant Amendments:*** Grant amendment requests should be received by the division three working days in advance of the intended change. Staff authorized to make the decision have three working days to approve, deny, or request additional information. If additional information is requested, the authorized staff has three days to make a decision to approve or deny the amendment after the additional information is received. If an amendment is denied the staff will provide a written justification for the denial.

*f. Appeals:* Grant recipients may appeal decisions of the Grant Administrator II and Program Coordinator I to the appropriate Program Coordinator II within five working days of a written denial. Grant recipients may appeal decisions of the Program Coordinator II to the Director or designee within five working days of a written denial. All appeals and responses must be in writing. Division staff has five working days to make a decision regarding an appeal. Division staff may request additional information from the grant recipient, bearing in mind that decisions must be made in a timely manner. Division staff must negotiate with the grant recipient to determine a reasonable time for additional information to be submitted. Once additional information is received, staff has three working days to make a decision.

**6. Policy Summary**

<b>Amendment Budget or outcome Requests</b>	Amendments of 10 percent or less	Amendments of 10 percent or more but less than 20 percent	Amendments of 20 percent or more but less than 35 percent	Amendments of 35 percent or more
<b>Responsible Authority</b>	Grant Recipients	Line item amendments: Grants Administrator I/II/III – Scope of work, conditions, or outcome amendments: Program Coordinator I	All amendment categories: Program Coordinator II or designees	All amendment categories: Division Director or designees
<b>Appeals</b>		Appeals directed to Program Coordinator II	Appeals directed to Division Director	Appeals directed to Commissioner